

Form PTO-1390
(Rev. 12-29-99)

US DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NO.

M 6830 PCT/US

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. **097869133**

INTERNATIONAL APPLICATION NO.
PCT/JP99/07210

INTERNATIONAL FILING DATE
December 22, 1999

PRIORITY DATE CLAIMED
December 25, 1998

TITLE OF INVENTION WATER-BASED METAL SURFACE TREATMENT COMPOSITION FOR FORMING LUBRICATING FILM WITH EXCELLENT MARRING RESISTANCE

APPLICANT(S) FOR DO/EO/US

Yasuhiro Kinoshita and Ryoji Morita

Applicant herewith submits to the United States Designated/Elected Office (EO/DO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
 2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
 3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39 (1).
 4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
 5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
 6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
 7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
 8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
 9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (unexecuted)
 10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:**
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
 12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
 13. ☒ A **FIRST** preliminary amendment
 - ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
 14. ☐ A substitute specification.
 15. ☐ A change of power of attorney and/or address letter.
 16. ☐ Other items or information:

"Express Mail" mailing label number EL615775803US

U.S. Application No. (If known, see 37 CFR 1.53) <div style="font-size: 2em; font-weight: bold; margin-left: 50px;">097869133</div>		INTERNATIONAL APPLICATION NO. PCT/JP99/07210		ATTORNEY'S DOCKET NUMBER M 6830 PCT/US	
17. ■ The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1,000.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00				<div style="display: flex; justify-content: space-between; font-weight: bold; font-size: 0.8em;"> CALCULATIONS PTO USE ONLY </div>	
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$	860
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date 37 (CFR 1.492(e)).				\$	0
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	21 - 20 =	1	0 X \$18.00	\$	18
Independent Claims	1 - 3 =	0	0 X \$80.00	\$	0
Multiple dependent claims (s)(if applicable)			0	+ \$270.00	\$ 0
TOTAL OF ABOVE CALCULATIONS =				\$	18
Reduction of 1/2 for filing by small entity, if applicable. A Small Entity Statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).				\$	0
SUBTOTAL =				\$	878
Processing fee of \$130.00 for furnishing the English translation later the <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	0
TOTAL NATIONAL FEE =				\$	878
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	0
TOTAL FEES ENCLOSED =				\$	878
				Amount to be:	
				refunded:	\$-----
				charged:	\$ 878. 00

a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.

b. ■ Please charge my Deposit Account No. 01-1250 in the amount of **\$878.00** to cover the above fees.
 A triplicate copy of this sheet is enclosed. Order No. 01-0502.

c. ■ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
 overpayment to Deposit Account No. 01-1250. A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b))
 must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO: Henkel Corporation, Law Dept.
 2500 Renaissance Blvd., Suite 200
 Gulph Mills, PA 19406

SIGNATURE:

 Stephen D. Harper
 NAME ATTORNEY FOR APPLICANT
33,243
 REGISTRATION NUMBER